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PTO/SB/21 (01-03)  
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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### TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|                        |                 |
|------------------------|-----------------|
| Application Number     | 09/929,986      |
| Filing Date            | August 15, 2001 |
| First Named Inventor   | Civelli, et al. |
| Art Unit               | 1647            |
| Examiner Name          |                 |
| Attorney Docket Number | 10732 US1       |

Total Number of Pages in This Submission

### ENCLOSURES (Check all that apply)

|   |  |   |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
|---|--|---|

Remarks  
-Request for Corrected Filing Receipt with copies of the following:  
-Express Mail Receipt dated August 15, 2001  
-Return Receipt Post Card  
-Response to Request for Corrected Filing Receipt

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                    |                          |
|--------------------|--------------------------|
| Firm or Individual | Kimberly J. Prior        |
| Signature          | <i>Kimberly J. Prior</i> |
| Date               | June 27, 2003            |

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313 on this date June 27, 2003

|                  |                          |      |               |
|------------------|--------------------------|------|---------------|
| Typed or printed | Kimberly J. Prior        | Date | June 27, 2003 |
| Signature        | <i>Kimberly J. Prior</i> |      |               |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PATENT APPLICATION

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application

Inventors: Oliver Civelli et al.

Group: 1647

Serial No. 09/929,986, filed August 15, 2001  
(Ref. No. 10732 US1)

For: **METHOD OF IDENTIFYING COMPOUNDS HAVING ANTIEPILEPTIC  
ANTICONSULSANT OR ANXIOLYTIC ACTIVITIES**

**REQUEST FOR CORRECTED FILING RECEIPT**

Nutley, New Jersey 07110  
June 27, 2003

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Attached is a copy of the official filing receipt received from the U.S. Patent & Trademark Office in the above-identified application. Issuance of a corrected filing receipt is respectfully requested.

Applicants note that the filing date of August 14, 2001, printed on the filing receipt is incorrect. Further, the filing date on the USPTO bar code attached to the return receipt postcard also is incorrect. Copies of these documents are attached.

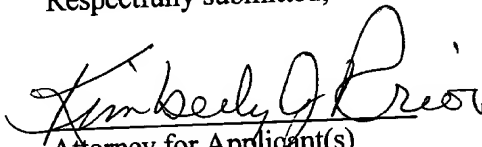
Serial No. 09/929,986  
Filed: August 15, 2001

Applicants filed the above-identified application on August 15, 2001, using Express Mail. Copies of the Application Transmittal, Certificate of Express Mailing, and Express Mail receipt, indicating the correct filing date, are enclosed.

Applicants respectfully request that a new filing receipt be issued indicating the correct filing date of August 15, 2001.

This error was not made by Applicant, and accordingly no fee is due.

Respectfully submitted,

A handwritten signature in cursive script, reading "Kimberly J. Prior".

Attorney for Applicant(s)

Kimberly J. Prior

(Reg. No. 41,483)

340 Kingsland Street

Nutley, New Jersey 07110

Telephone: (973) 235-6208

Telefax: (973) 235-2363

Enclosures

131127

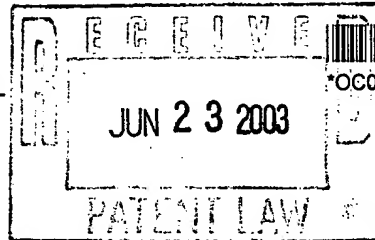


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, DC 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-------------|-----------------------|------------------------|
| 09/929,986         | 08/14/2001  | Olivier Civelli       | 9516                   |

00151  
HOFFMANN-LA ROCHE INC.  
PATENT LAW DEPARTMENT  
340 KINGSLAND STREET  
NUTLEY, NJ 07110



CONFIRMATION NO. 9873

\*OC000000010309739\*

Date Mailed: 06/19/2003

**RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT**

**Application Filing Date**

In response to your request for a corrected Filing Receipt, the Office can not comply with your request because:

- ☐ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- ☒ **A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.**
- ☐ The "date in" on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- ☐ Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- ☐ The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

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A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

Box DAC  
Commissioner for Patents  
Washington, DC 20231

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Haimanot Tegbaru  
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| FROM: (PLEASE PRINT)<br>F. Aaron Dubberley, Esq. / Patent Law Dept.<br>HOFFMANN LAROCHE INC<br>PATENT LAW<br>340 KINGSLAND ST BLDG 85/5<br>NUTLEY NJ 07110-1150<br>Case Docket 9516 (DIV. of SN 08/868,355)<br>FAD:ms | TO: (PLEASE PRINT)<br>Commissioner for Patents<br>Washington, D.C. 20231<br>BOX PATENT APPLICATION | PHONE ( )   |

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PATENT APPLICATION

Docket No. 9516

- 1) APPLICANT(S) Olivier Civelli, James Richard Martin, Frederick Monsma, Jean-Luc Moreau, Hans-Peter Nothacker, Rainer Reinscheid (Div. of SN 08/868,355)
- 2) TITLE METHOD OF IDENTIFYING COMOPUNDS HAVING ANTIEPILEPTIC ANTICONVULSANT OR ANXIOLYTIC ACTIVITIES  
20 pgs. specification, 2 pgs. appl. data sheet, 1 pg. Fee
- 3) NUMBER OF PAGES Sheet, 1 pg. Patap. Transmittal, 1 pg. Statement Under 37 CFR 1.821(e), 1 pg. Express Mail Cert.
- 4) NUMBER OF CLAIMS 4
- 5) NUMBER OF SHEETS OF DRAWINGS ---
- 6) DECLARATION OR OATH July 30, August 28 & September 24, 1997 (4 pgs.)
- 7) FEE (\$710) PAID BY DEPOSIT ACCOUNT 08-2525

EXPRESS MAIL: EL912160392US

FU 8/25/01

FAD:ms

jc974 U.S. PTO  
09/929986

jc974 U.S. PTO  
09/929986

08/14/03  
08/15/03



PTO/SB92 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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### Certification under 37 CFR 1.10


I hereby certify that this form and all documents cited on this form are being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number:

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**Washington, D.C. 20231**

on August 15, 2001

Date

  
Signature

Pamela Johnston

Typed or printed name of person of signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Papers Submitted for Case Docket 9516 US: Patent Application Transmittal Form, Application Data Sheet, Fee Transmittal Form, Specification, Declaration, Sequence Listing, Statement Under 37 CFR 1,821(e)

Burden Hour Statement: This form is estimated to take 0.03 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type and sign (+) inside this box → ☒

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PTO/SB/05 (03-01)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 9516                                   |
| First Inventor         | Olivier Civelli                        |
| Title                  | Method of Identifying Compounds Having |
| Express Mail Label No. | EL 912160392US                         |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 20]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
- ☐ Oath or Declaration [Total Pages 4]
  - ☐ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))
  - ☒ (for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☒ paper
- ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 08/868,355

Prior application information:

Examiner S. Gucker

Group Art Unit: 1647

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

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|-------------------|---------------------------|-----------------------------------|------------|
| Name (Print/Type) | F. Aaron Dubberley        | Registration No. (Attorney/Agent) | 41001      |
| Signature         | <i>F. Aaron Dubberley</i> | Date                              | 08/15/2001 |

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